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Application Number	10/753,069
Filing Date	January 8, 2004
First Named Inventor	Weber
Art Unit	3621
Examiner Name	TBA
Attorney Docket Number	00322 0008 CPUS01

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	1	us-6,456,982 B1	09-24-2002	Pilipovic	
	2	us-6,377,907 B1	04-23-2002	Waclawski	
	3	us-6,317,728 B1	11-13-2001	Kane	
	4	us-6,047,270	04-04-2000	Joao	
	5	us-5,937,159	08-10-1999	Meyers	
	6	us-5,875,437	02-23-1999	Atkins	
	7	us-5,806,048	09-08-1998	Kiron	
	8	us-5,214,579	05-25-1993	Wolfberg	
	9	us-6,088,685	07-11-2000	Kiron	
	10	us-6,606,615	08-12-2003	Jennings et al.	
	11	us-6,061,662	05-09-2000	Makivicj	
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	14	us-2002/0184126	12-05-2002	McIntyre, Jr	
	15	us-2003/0126062	07-03-2003	Gilbert	
	16	us-2004/0044505	03-04-2004	Horwitz	
	17	us-2004/0049448	03-11-2004	Glickman	
		us-			

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code* Number* Kind Code* (if known)				
	18	WO 02/084435 A2	10-24-2002	Kholer		
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Date	
Considered	

10/14/2008

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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**Complete If Known**

Application Number	10/753,069
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Attorney Docket Number	00322.0008.CPUS01

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**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	19	M.A. BERRY, et al., "Sorting Out Risks Using Known APT Factors," Financial Analysis Journal 22 (1988), 29-42	
	20	CHAN, et al., "An Exploratory Investigation of the Firm Size Effect," J. of Financial Econ. 14 (1985), 451-71.	
	21	B.A. ROSENBERG, "Extra-Market Components of Covariance in Security Returns," J. Financial and Quantitative Analysis 9 (1974), 263-74.	
	22	S. BECKERS, et al. "The Relative Importance of Common Factors Across the European Equity Markets," J. Banking and Finance 16 (1992), 75-97.	
	23	J.K. KALE, et al., "Industry Factors versus Other Factors in Risk Prediction," working paper University of California, Berkeley (1991).	
	24	E.F. FAMA, et al., "Common Risk Factors in the Returns of Stocks and Bonds," J. Financial Econ. 33 (1992), 3-56.	
	25	B. LEHMAN, et al., "The Empirical Foundation of the Arbitrage Pricing Theory," J. of Financial Econ. 21 (1988), 213-54.	
	26	G. CONNOR, et al., "A Test for the Number of Factors in an Approximate Factor Model," J. of Finance 48 (1993) 1263-92.	
	27	"Science and Technology: Digital Rights and Wrongs" The Economist, pp. 75-76, July 17, 1999.	
	28	"HCM Global Technology Fund Limited: Investment Statement", available at <a href="http://www.fantasy.com.sg/brokerage/hcm/tech.htm">www.fantasy.com.sg/brokerage/hcm/tech.htm</a> (available on or after June 1, 1999)	

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**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
29	B. Rosenberg	"Extra-Market Components of Covariance Among Security Prices" Research Program in Finance Working Paper RPF-013, 1-45, 1973	
30	B. Rosenberg	"Common Factors in Security Returns: Microeconomic Determinants and Macroeconomic Correlates", Seminar on the Analysis of Security Prices, May 13-14, 1976	
31	Carol Alexander	"A Guide to Financial Data Analysis", published by John Wiley & Sons, Ltd., 143-178, 2001	
32	"On Lines and Planes of Closest Fit to Systems of Points in Space"	K. Pearson, Philosophical Magazine and Journal of Science, Vol. 2, Sixth Series, July-Dec. 1901, pp.559-572	
33	Ameritrade Exchange-Traded Funds- ETF Center: World Wide Web- "Could Exchange Traded Funds Be Right For You"	pages 1-2, 2004	
34	Ameritrade Exchange- Traded Funds - ETF Center: Education - World Wide Web- "Explore the Essentials of EFTs"	pages 1-4, 2004	
35	SEC Concept Release: Actively Managed Exchange-Traded Funds ;	http:// www.sec.gov/rules/concept/ic-25258.htm; last visited 08/24/04	
36	MAR Headlines ; In Business "Mopex ups ante in ETF patent challenge"	Last visited on April 25, 2002	
37	Random -bits  Gregory Aharonian on Open end mutual fund securitization process patent;	pages 1-4; last visited April 25, 2002	
38	Gregg Greenberg "What's Next for ETFs?" , The Street.com,	pages 1-2	

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Examiner Signature	/Linda Pery/	Date	10/14/2008
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39 T. Laswing "Active ETF Inching Toward Reality" Ignites.com, June 10, 2004

40 T. Bernard "Getting Personal: Active ETF Filing May Be On Horizon" Dow Jones News Service, June 23, 2004

41 I. Clary "Actively Managed ETFs on Horizon" Securities Industry News, June 28, 2004,  
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